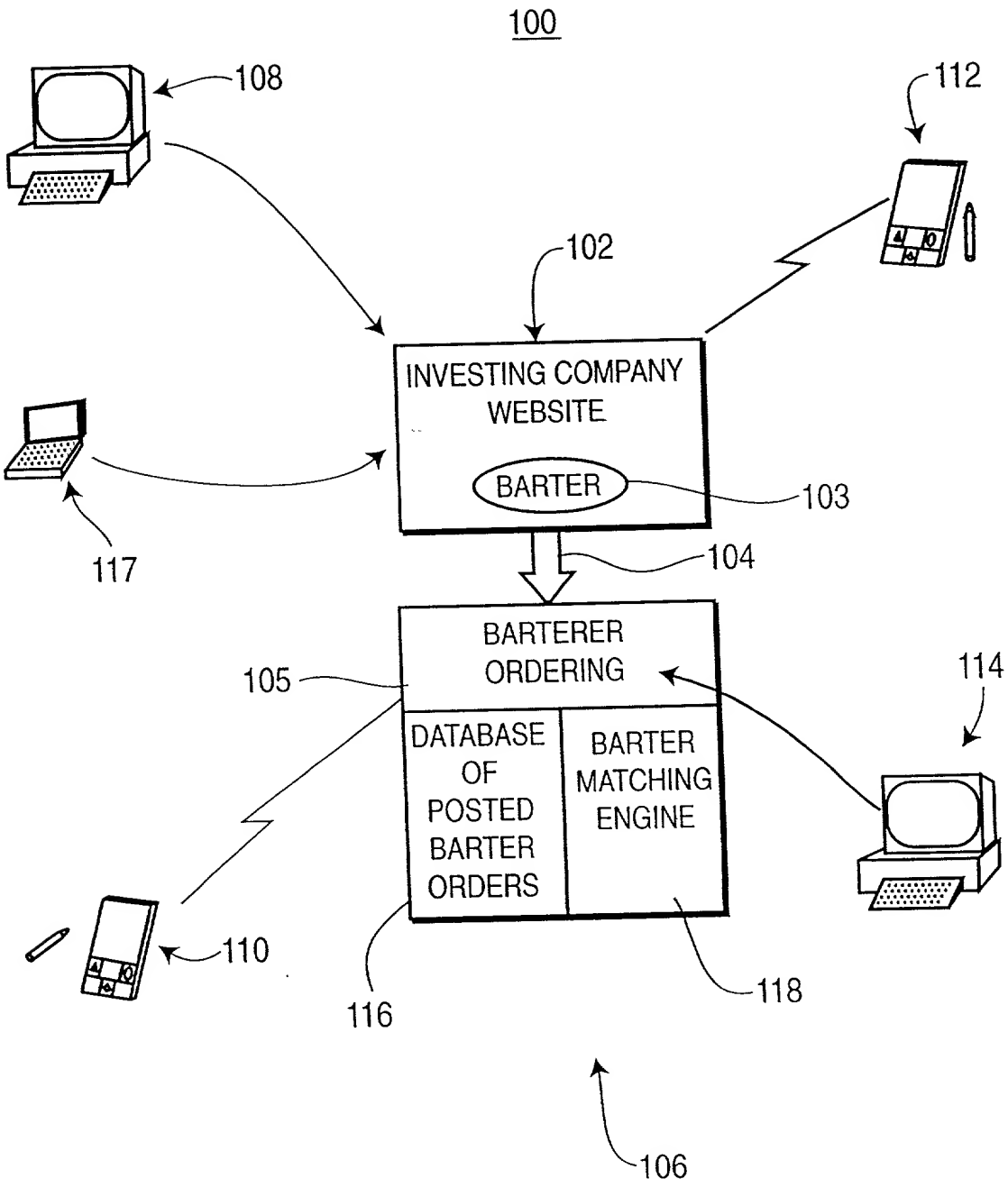
100
108
112
102
INVESTING COMPANY WEBSITE
BARTER
103
117
104
BARTERER ORDERING
105
114
DATABASE OF POSTED BARTER ORDERS
BARTER MATCHING ENGINE
110
116
118
106

FIG. 1

200

226

BARTERER ORDER				
HAVE	QTY	VALUE	WANT	VALUE
DD	45	20	AET	90

228 230 232 234 236

216

TRAN-SACTION	BARTER DATA HAVE	QTY	VALUE	WANT	VALUE	
2221	AET	100	MKT	OMX	MKT-3%	204
4890	AET*	75	85	DD*	16	206
6034	AET*	100	90	DD	MKT	208
5564	DD	300	17	AET	74	210
9021	DD	110	MKT	RHAT	MKT	212
3752	OMX*	30	41	RHAT*	25	214
7657	OMX*	35	45	DD	20	216
3360	OMX*	40	MKT	RHAT	18	218
8290	RHAT	50	19	AET	MKT	220
0077	RHAT*	20	18	AET	MKT	222
1779	RHAT	15	MKT	OMX	29	224

FIG. 2

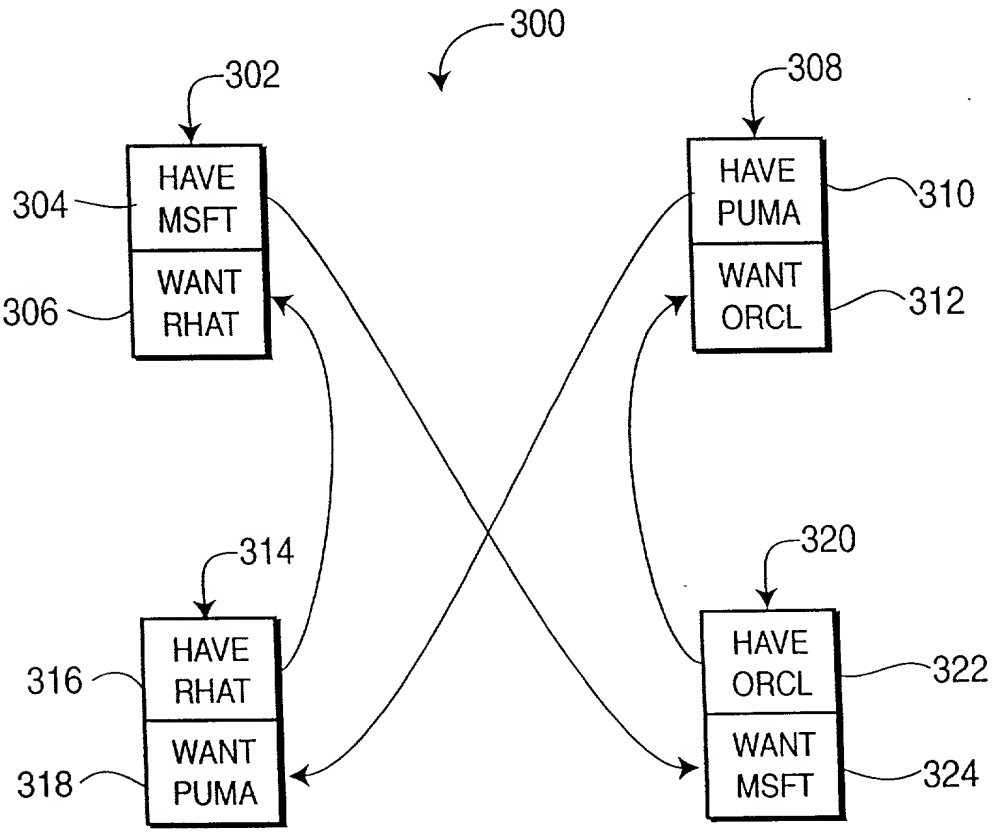

FIG. 3

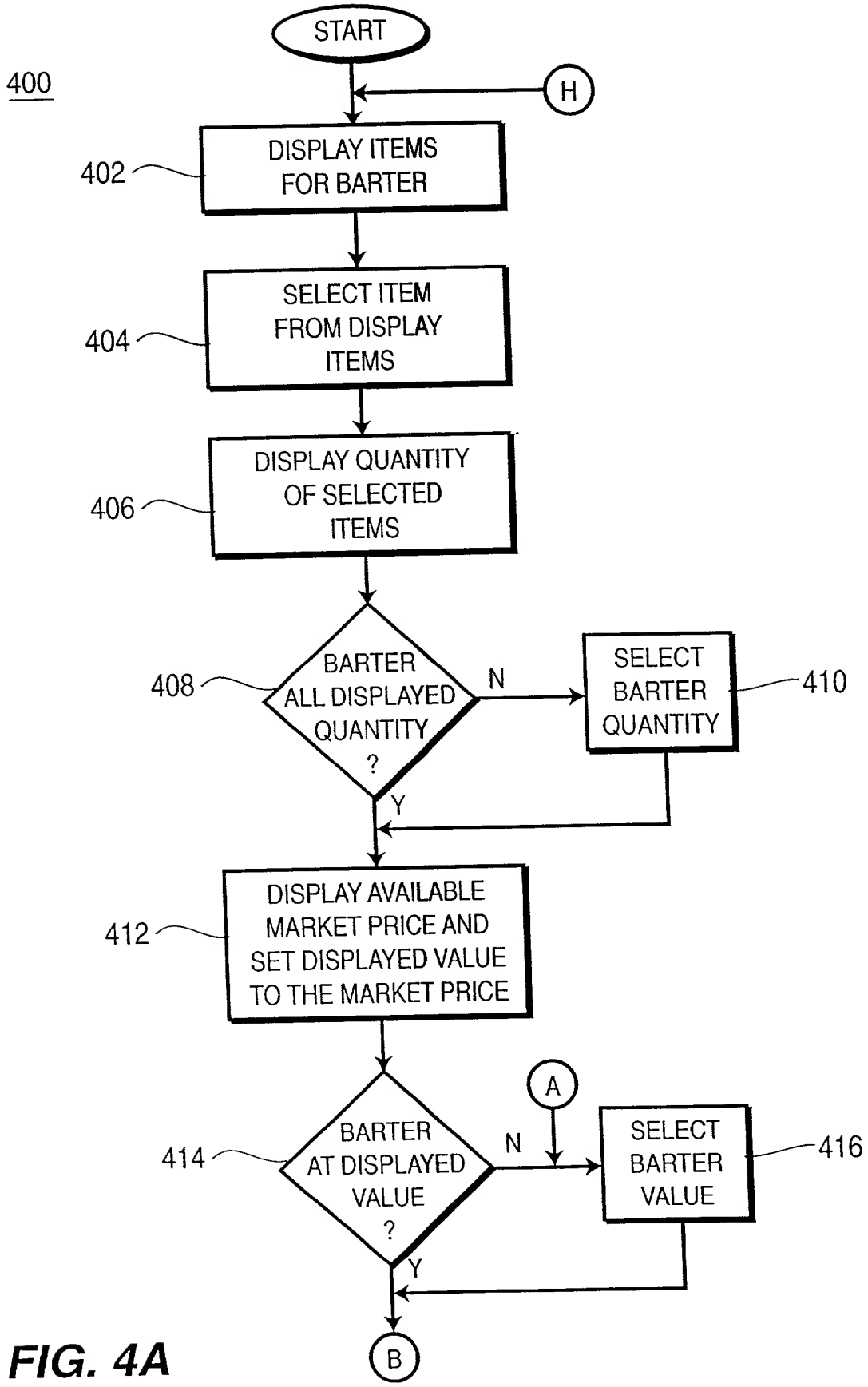
400
START
H
DISPLAY ITEMS FOR BARTER
402
SELECT ITEM FROM DISPLAY ITEMS
404
DISPLAY QUANTITY OF SELECTED ITEMS
406
BARTER ALL DISPLAYED QUANTITY ?
408
N
SELECT BARTER QUANTITY
410
Y
DISPLAY AVAILABLE MARKET PRICE AND SET DISPLAYED VALUE TO THE MARKET PRICE
412
A
BARTER AT DISPLAYED VALUE ?
414
N
SELECT BARTER VALUE
416
Y
B

FIG. 4A

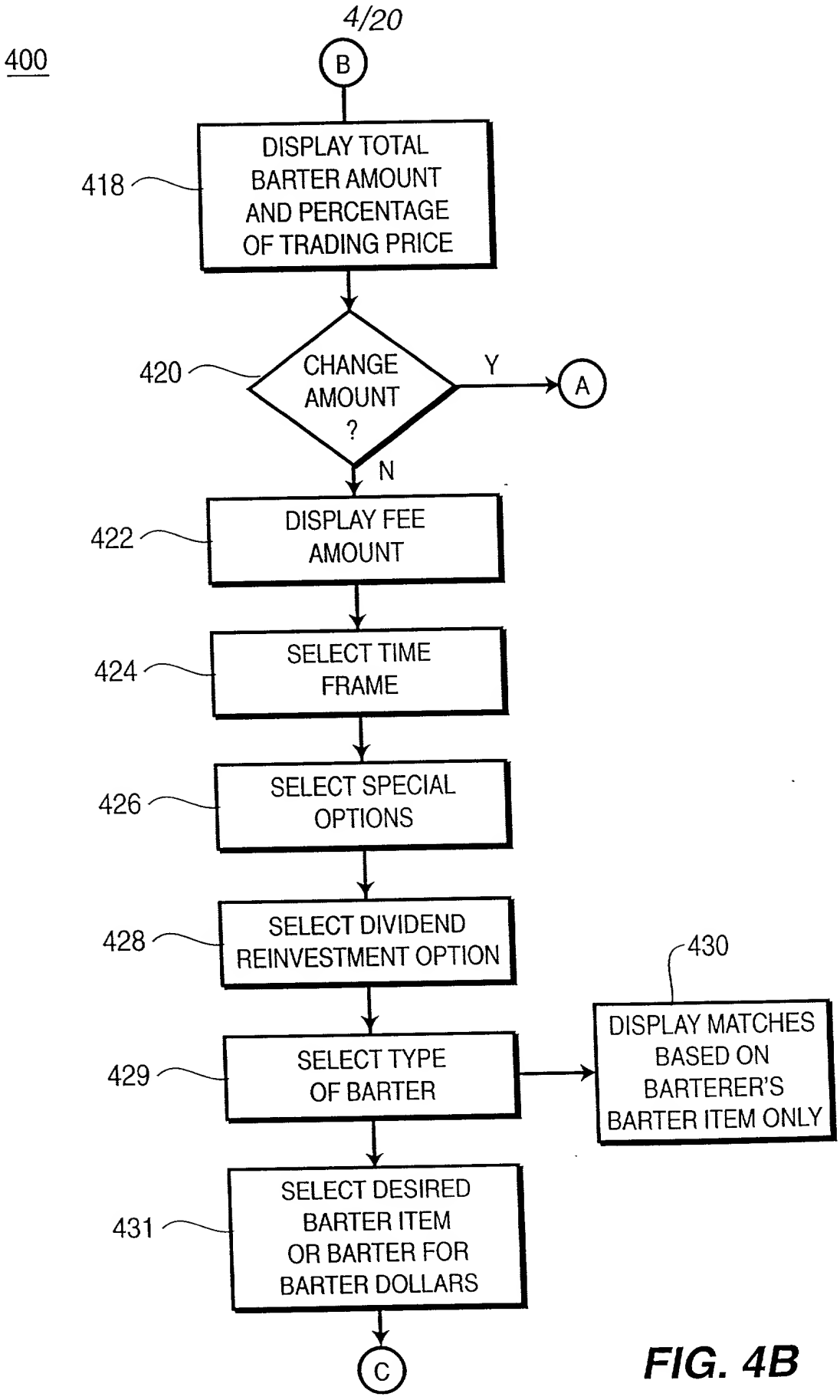
400
B
418
DISPLAY TOTAL BARTER AMOUNT AND PERCENTAGE OF TRADING PRICE
420
CHANGE AMOUNT ?
Y
A
N
422
DISPLAY FEE AMOUNT
424
SELECT TIME FRAME
426
SELECT SPECIAL OPTIONS
428
SELECT DIVIDEND REINVESTMENT OPTION
430
DISPLAY MATCHES BASED ON BARTERER'S BARTER ITEM ONLY
429
SELECT TYPE OF BARTER
431
SELECT DESIRED BARTER ITEM OR BARTER FOR BARTER DOLLARS
C

FIG. 4B

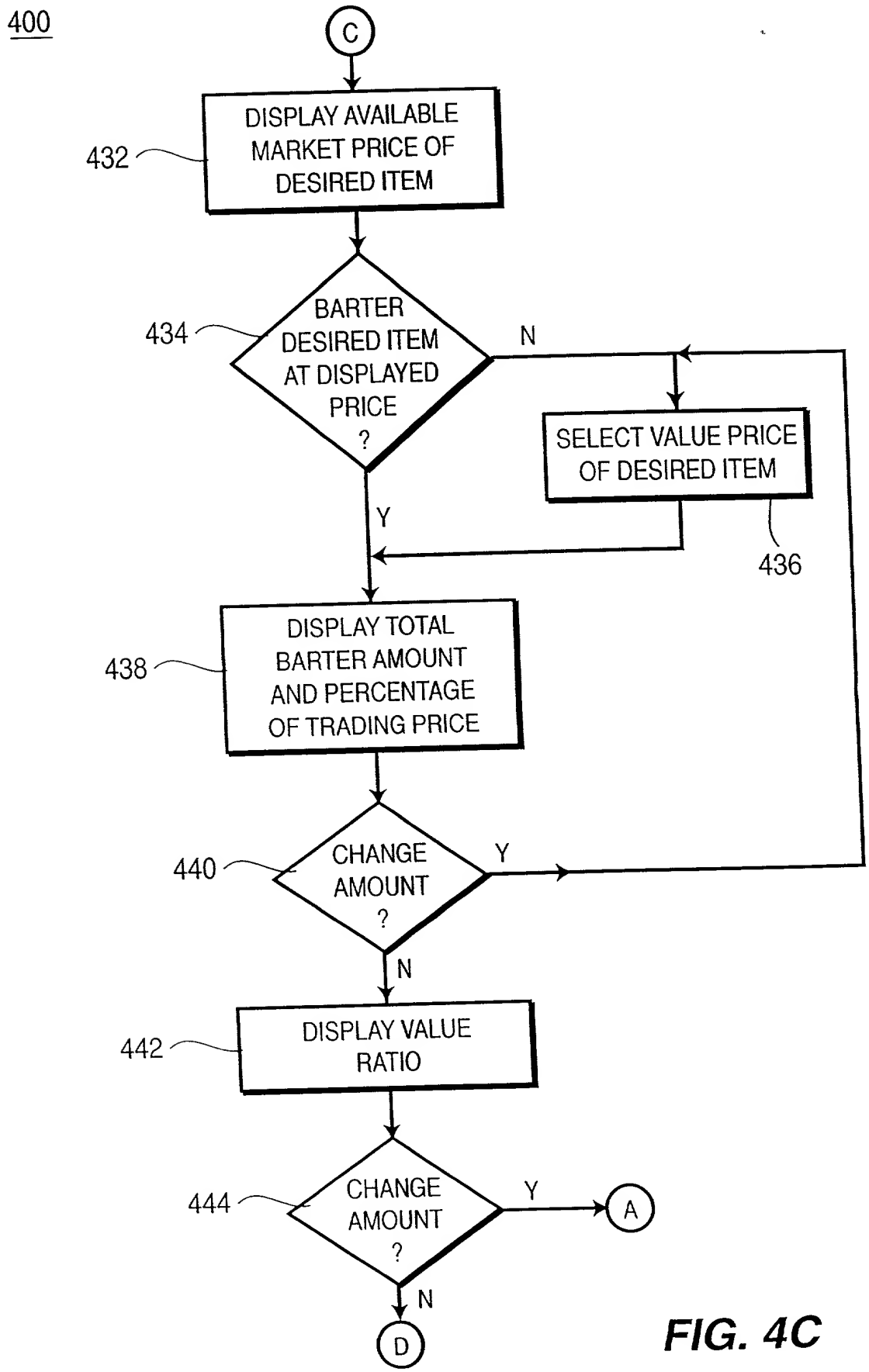
400
C
DISPLAY AVAILABLE MARKET PRICE OF DESIRED ITEM
432
BARTER DESIRED ITEM AT DISPLAYED PRICE ?
434
N
SELECT VALUE PRICE OF DESIRED ITEM
436
Y
DISPLAY TOTAL BARTER AMOUNT AND PERCENTAGE OF TRADING PRICE
438
CHANGE AMOUNT ?
440
Y
N
DISPLAY VALUE RATIO
442
CHANGE AMOUNT ?
444
Y
A
N
D

FIG. 4C

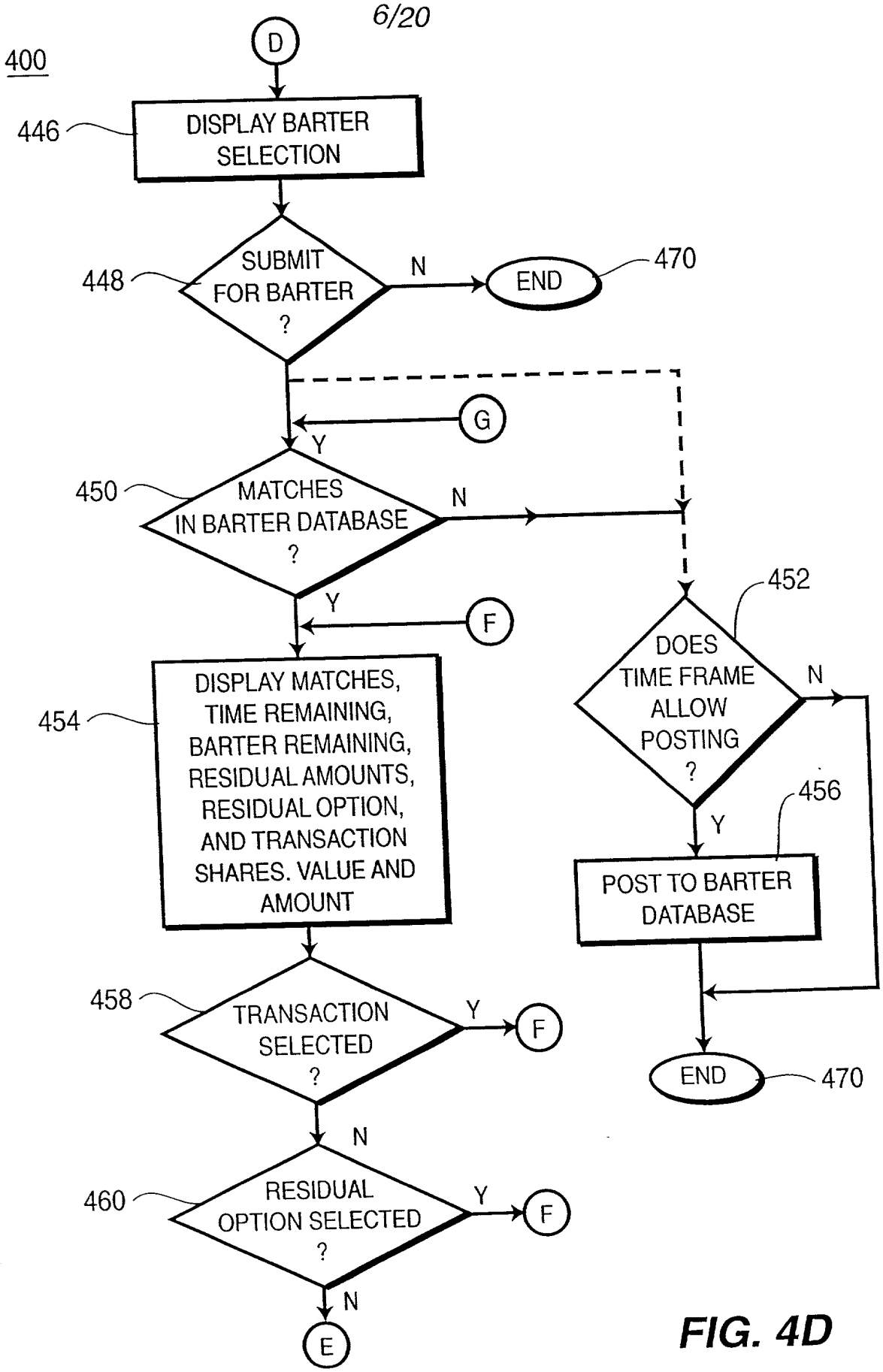
400
D
446
DISPLAY BARTER SELECTION
448
SUBMIT FOR BARTER ?
N
END
470
G
Y
450
MATCHES IN BARTER DATABASE ?
N
Y
F
452
DOES TIME FRAME ALLOW POSTING ?
N
Y
456
POST TO BARTER DATABASE
454
DISPLAY MATCHES, TIME REMAINING, BARTER REMAINING, RESIDUAL AMOUNTS, RESIDUAL OPTION, AND TRANSACTION SHARES. VALUE AND AMOUNT
458
TRANSACTION SELECTED ?
Y
F
N
460
RESIDUAL OPTION SELECTED ?
Y
F
N
E
END
470

FIG. 4D

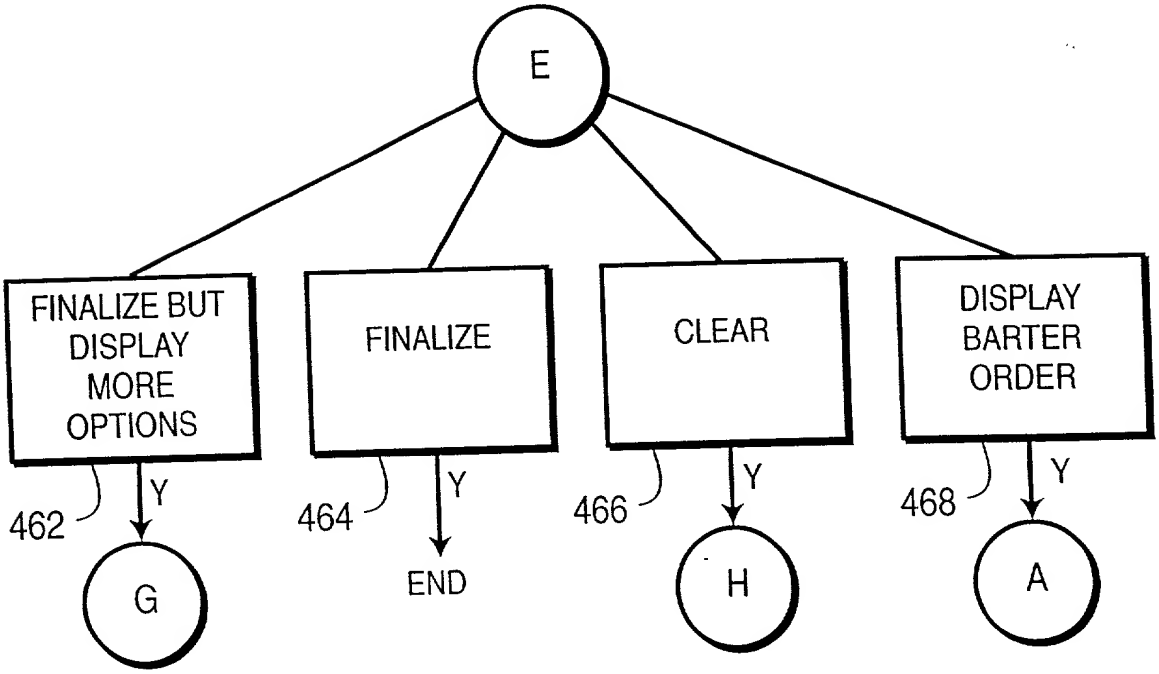
E
FINALIZE BUT DISPLAY MORE OPTIONS
FINALIZE
CLEAR
DISPLAY BARTER ORDER
462
464
466
468
Y
Y
Y
Y
G
END
H
A

FIG. 4E

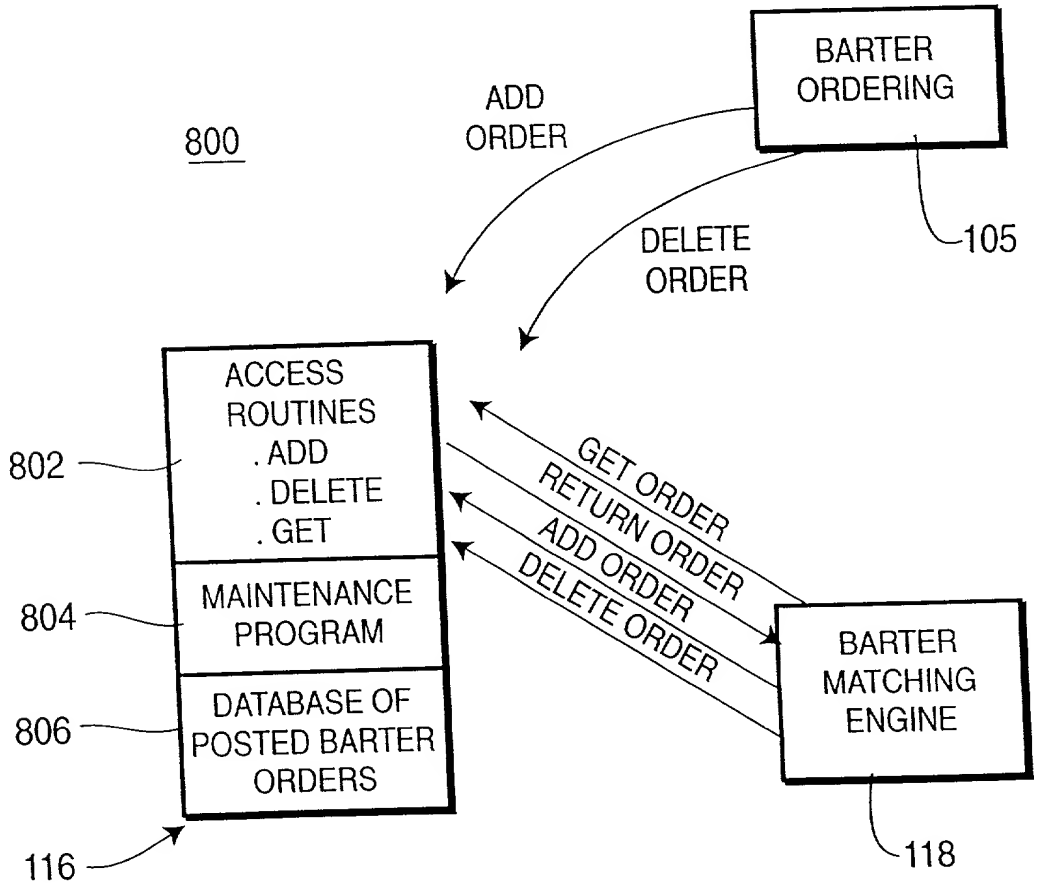
800
BARTER ORDERING
ADD ORDER
DELETE ORDER
105
ACCESS ROUTINES
. ADD
. DELETE
. GET
802
MAINTENANCE PROGRAM
804
DATABASE OF POSTED BARTER ORDERS
806
116
GET ORDER
RETURN ORDER
ADD ORDER
DELETE ORDER
BARTER MATCHING ENGINE
118

FIG. 8

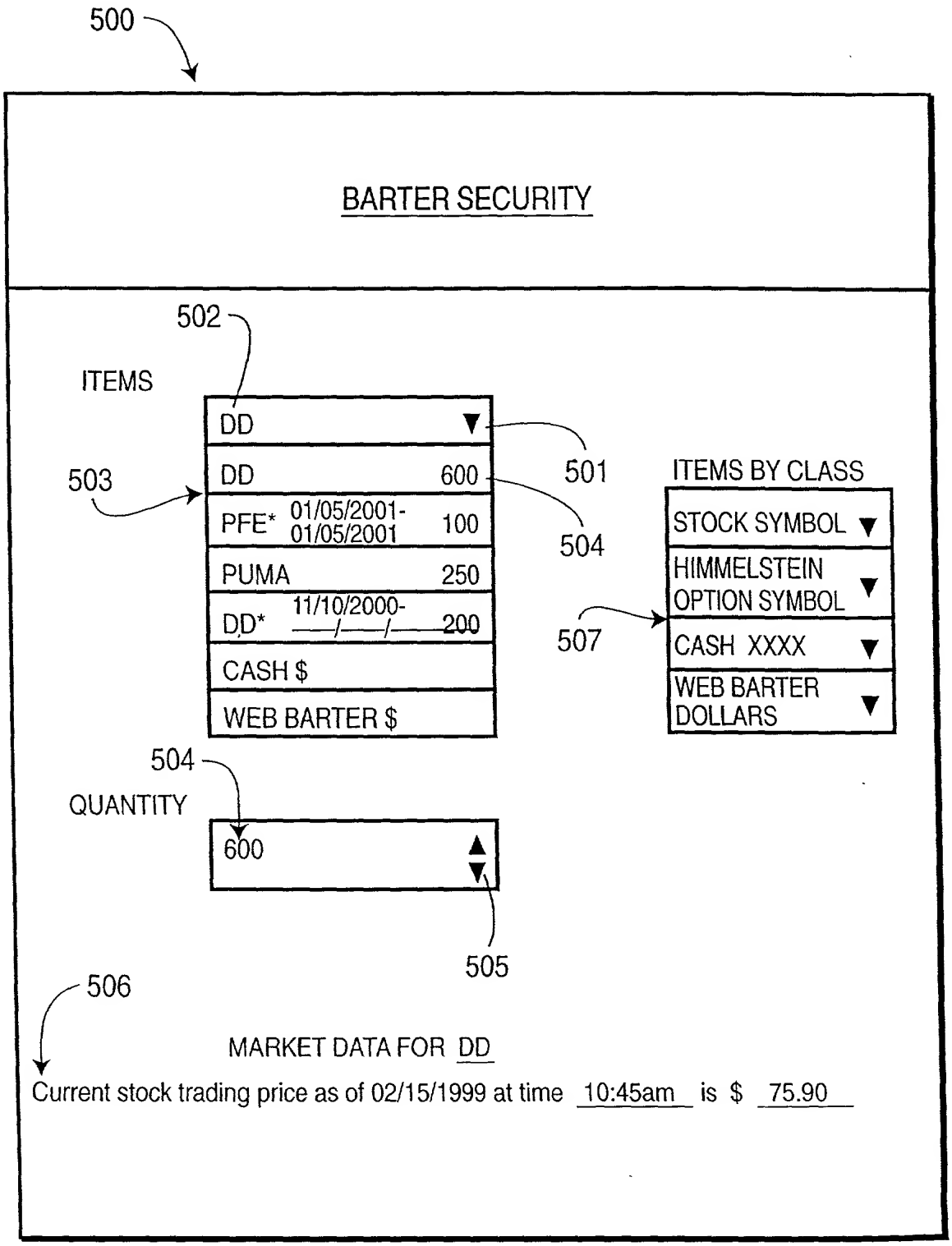
500
BARTER SECURITY
502
ITEMS
DD
503
DD 600
PFE* 01/05/2001-01/05/2001 100
PUMA 250
DD* 11/10/2000-—/—/— 200
CASH $
WEB BARTER $
501
504
ITEMS BY CLASS
STOCK SYMBOL
HIMMELSTEIN OPTION SYMBOL
507
CASH XXXX
WEB BARTER DOLLARS
504
QUANTITY
600
505
506
MARKET DATA FOR DD
Current stock trading price as of 02/15/1999 at time 10:45am is $ 75.90

FIG. 5A

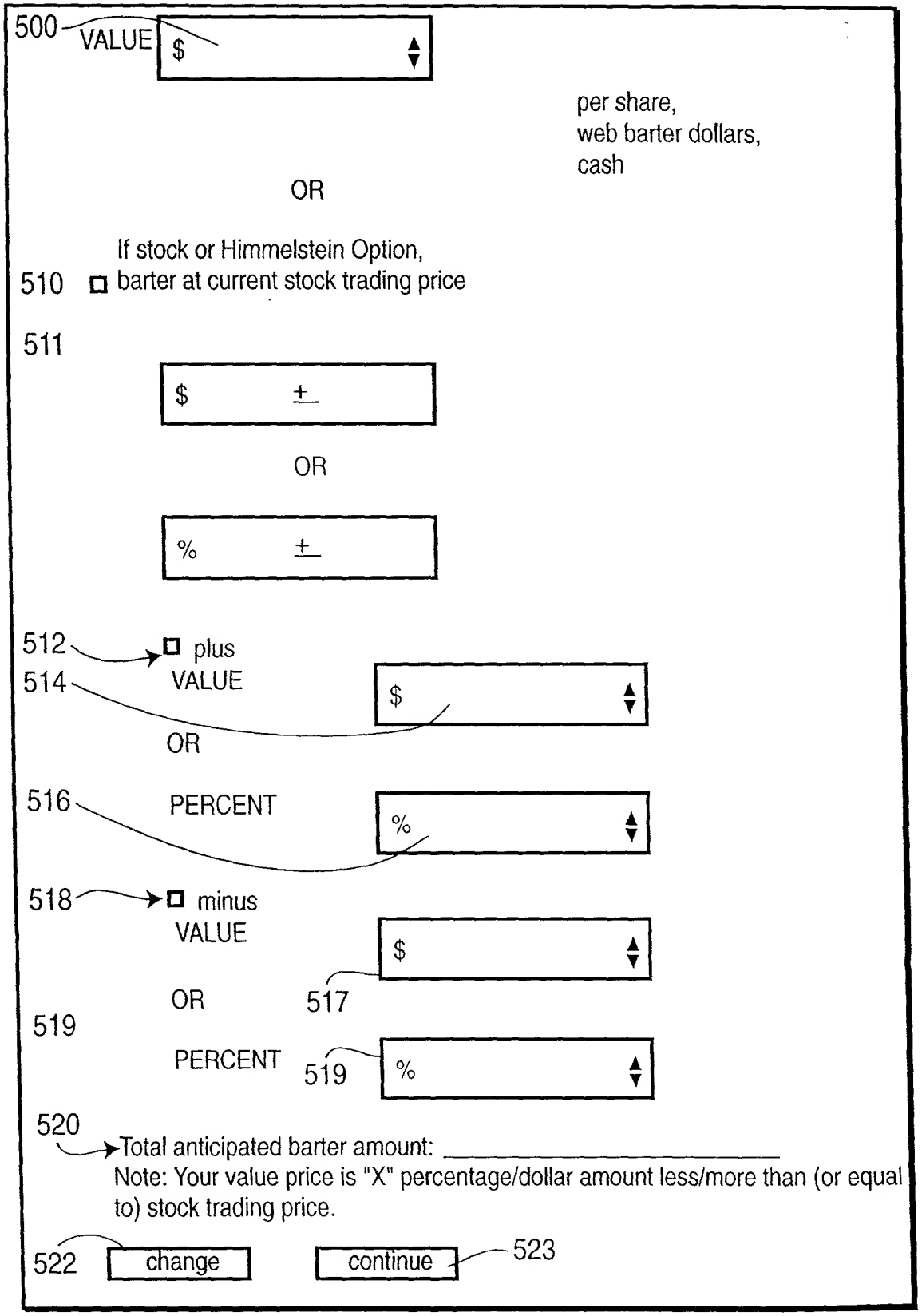
500
VALUE
$
per share,
web barter dollars,
cash
OR
If stock or Himmelstein Option,
510 barter at current stock trading price
511
$ ±
OR
% ±
512
plus
VALUE
514
$
OR
516
PERCENT
%
518
minus
VALUE
$
OR
517
519
PERCENT
519
%
520
Total anticipated barter amount: _____
Note: Your value price is "X" percentage/dollar amount less/more than (or equal to) stock trading price.
522
change
continue
523

FIG. 5B

524 — FEE AMOUNT per share is anticipated to be _____, if direct barter (total anticipated fee _____);

526 — FEE AMOUNT per share is anticipated to be _____, if web barter (total anticipated fee _____);

528 → TIMING

day only ▼
day only
good until canceled
fill or kill
immediate or cancel
only view current posts

530 — SPECIAL CONDITIONS (OPTIONAL)

☐ minimum quantity 600 ▲▼

☐ do not reduce

☐ all or none

☐ deferred settlement date before _____ date after _____

531 —

☐ other security, if any, to be provided at settlement _____

FIG. 5C

532 DIVIDEND REINVESTMENT (FOR NEW STOCK)

- ☐ yes, new stock must have a dividend reinvestment program
- ☐ no, new stock must not have had a dividend reinvestment program
- ☐ accept new stock with or without a dividend reinvestment program

534 TYPE OF BARTER

- ☐ direct barter only (fee amount anticipated to be _____)
- ☐ if direct barter not available, then barter with web site (fee amount anticipated to be _____)

DESIRED ITEM

Security AET ▼ (535) Industry Health Care ▼ (536)

- ☐ Himmelstein Option for stock
- ☐ Stock (537)
- ☐ Cash
- ☐ Web barter dollars

MARKET DATA FOR AET

Current stock trading price as of 02/15/1999 at time 10:45am is $ 47.50 . (538)

FIG. 5D

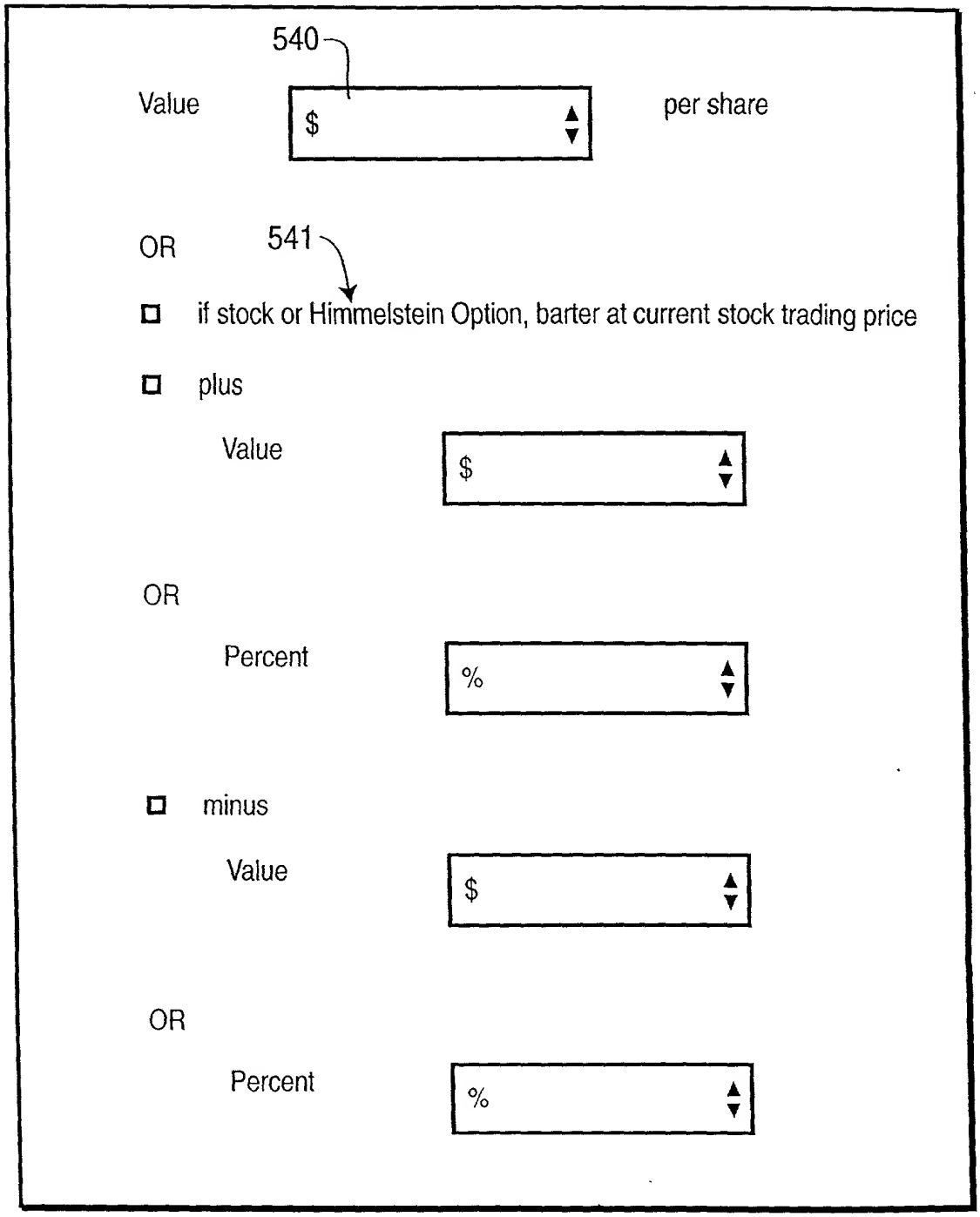

FIG. 5E

Page 12 of 20

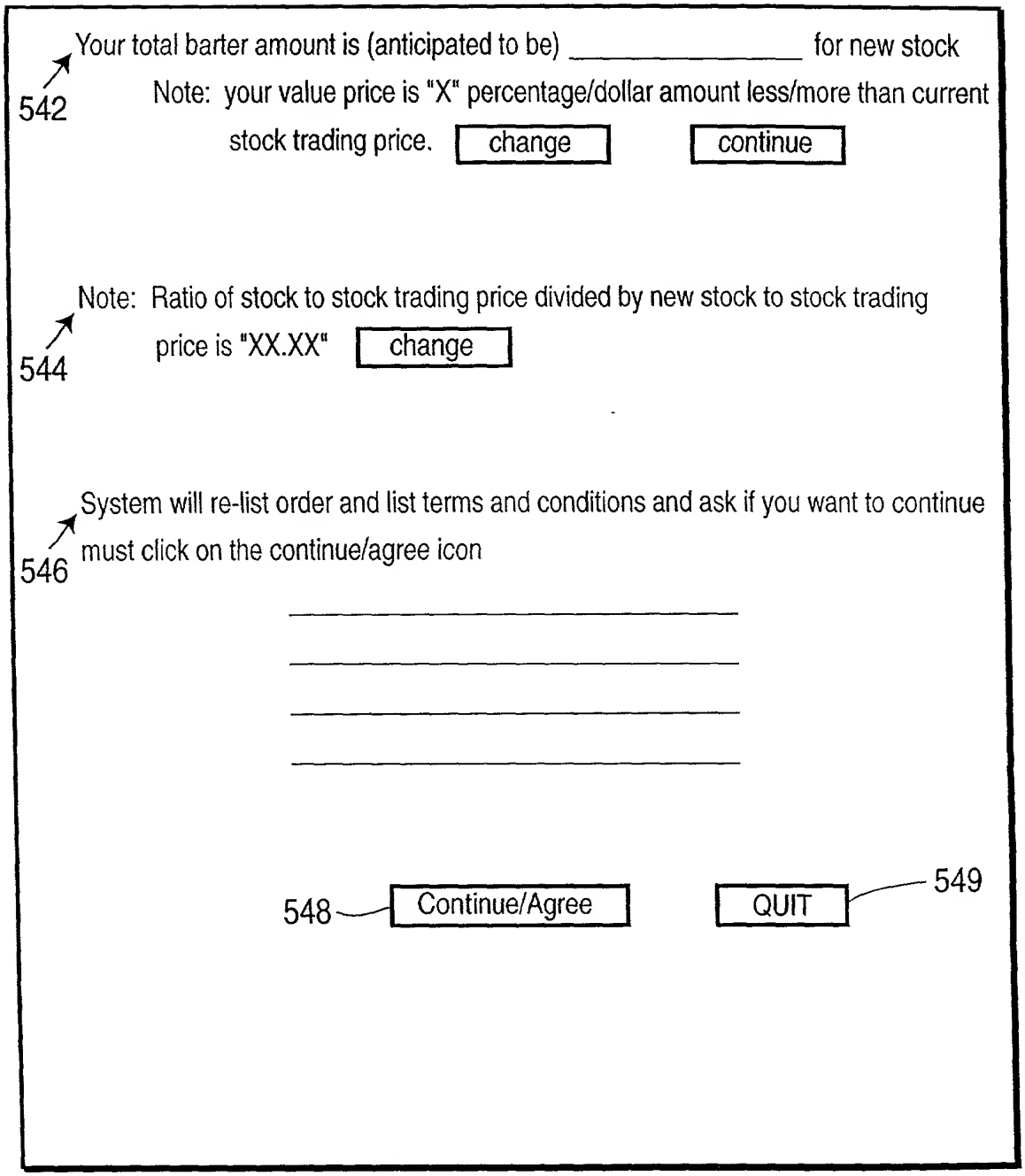
Your total barter amount is (anticipated to be) _____ for new stock
542
Note: your value price is "X" percentage/dollar amount less/more than current stock trading price.
change
continue
Note: Ratio of stock to stock trading price divided by new stock to stock trading price is "XX.XX"
544
change
System will re-list order and list terms and conditions and ask if you want to continue must click on the continue/agree icon
546
548
Continue/Agree
QUIT
549

FIG. 5F

AVAILABLE BARTER ORDERS

NOTE: CLICK ON ORDER # IF CHOOSE TO DO BARTER

IF MORE THAN ONE SELECTION, CLICK ON SEQUENTIAL PREFERENCE

610

	ORDER #	SYMBOL	PRICE	RATIO TO STOCK TRADING PRICE	VALUE RATIO	# OF SHARES	BARTER AMOUNT	PRICE FLUCTUATE WITH STOCK TRADING PRICE	SPECIAL CONDITIONS	TIMING	DIVIDEND
1)	1000526	IBM	115	1.00	1.0200	120	$13,800.00	YES	NONE	1	YES
2)	9843566	IBM	$115_{1/16}$	.9995	1.0194	40	$4,602.50	NO	MINIMUM 40	2	NO
3)	1043442	IBM	$115_{11/16}$	.9941	1.0139	100	$11,568.75	NO	AFTER 2/01/00 BEFORE INDEFINITE SECURITY AT SETTLEMENT = ϕ	1	YES
4)											

620

	ORDER #	# OF SHARES GIVING	PRICE OF GIVING ITEM	# OF SHARES RECEIVING	PRICE OF RECEIVING ITEM	BARTER AMOUNT
1)						
2)						
3)						
4)						
5)						
6)						

622

AMOUNT OF BARTER LEFT	TIME REMAINING

626

624

RESIDUAL AMOUNT LEFT OVER

- ☐ HOLD IN ESCROW
- ☐ DONATE IT
- ☐ PURCHASE OTHER STOCK

631 CLEAR

632 CHANGE BARTER ORDER

633 FINALIZE TRANSACTION

634 FINALIZE TRANSACTION BUT DISPLAY MORE BARTER OPTIONS

FIG. 6

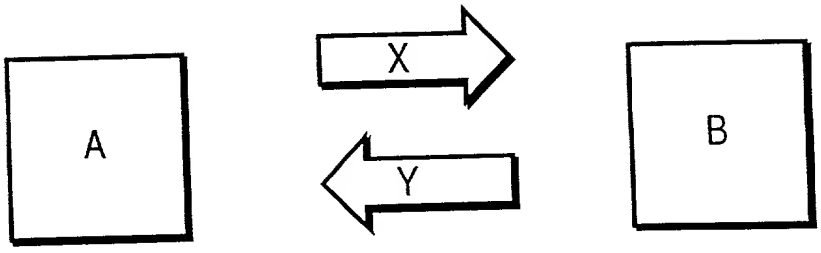

FIG. 7A

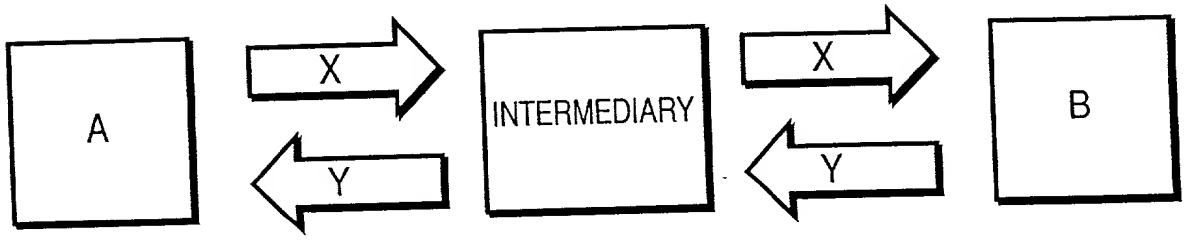

FIG. 7B

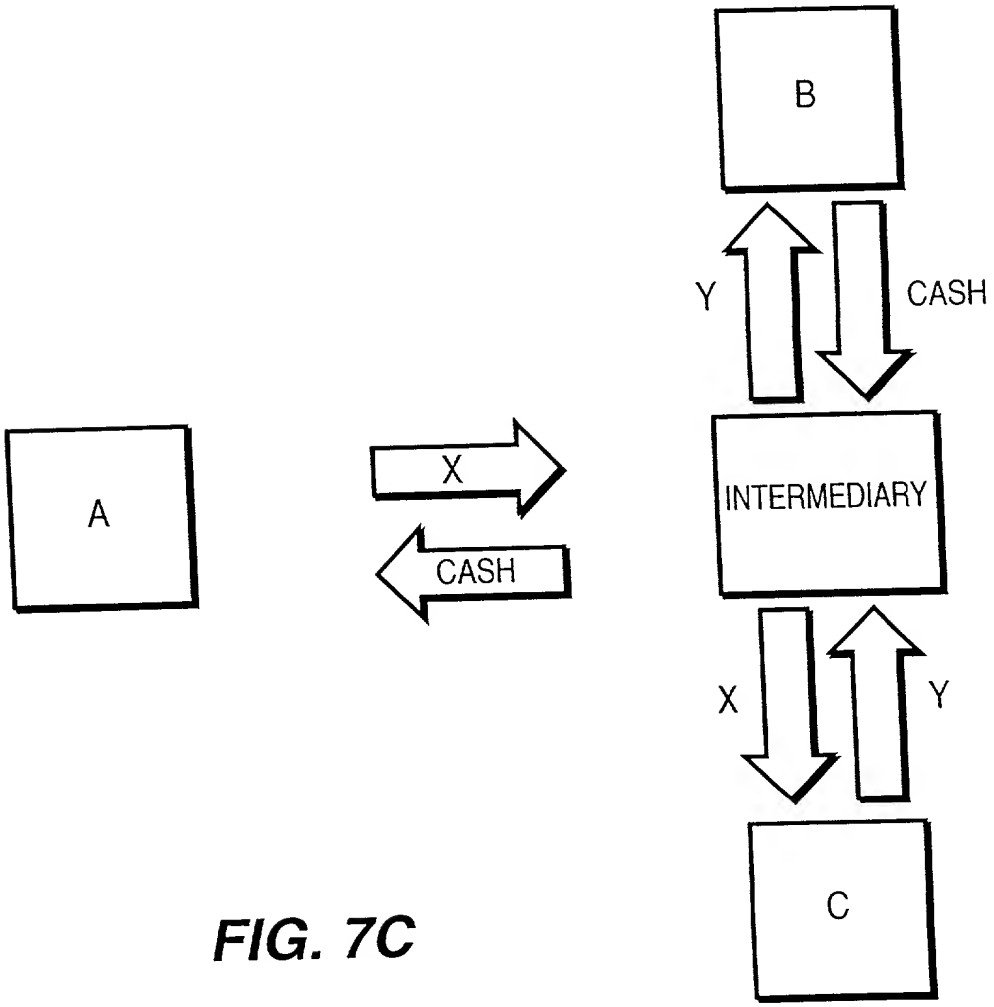

FIG. 7C

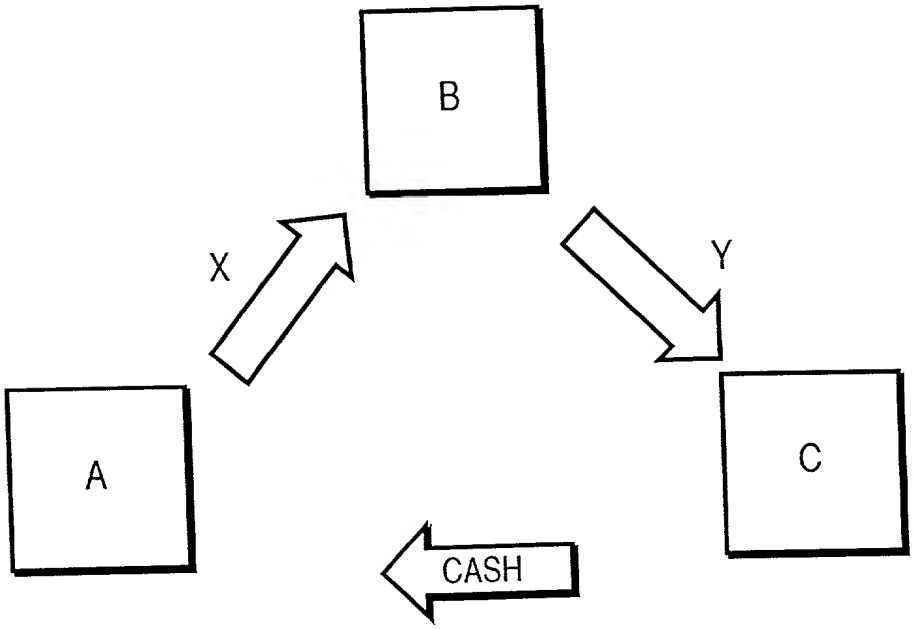
B
X
Y
A
C
CASH

FIG. 7D

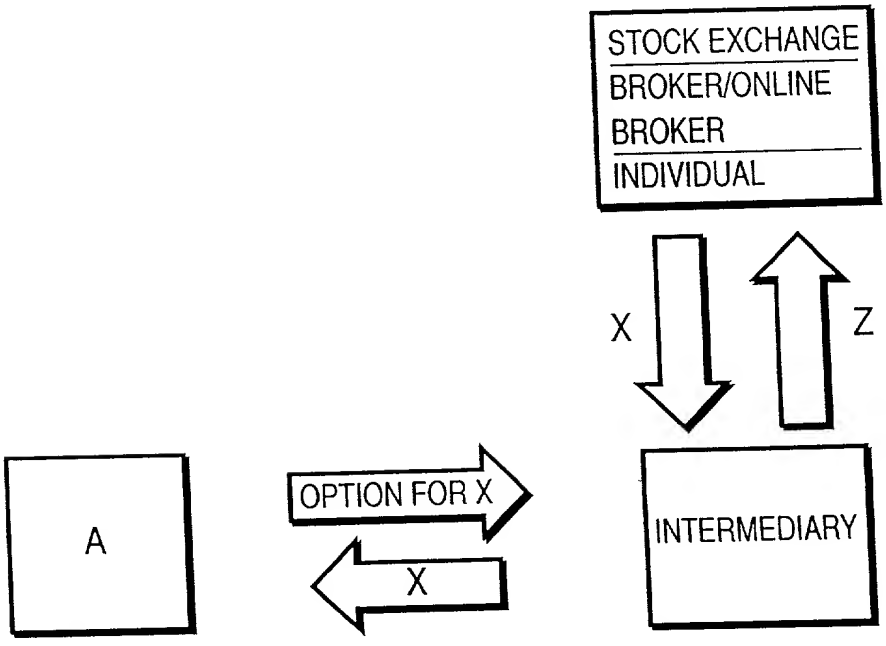
STOCK EXCHANGE
BROKER/ONLINE BROKER
INDIVIDUAL
X
Z
A
OPTION FOR X
X
INTERMEDIARY

FIG. 7E

FIG. 9A

FIG. 9AA | FIG. 9AB

	Class/ Type	Item/ Identification	Amount	Market Value	Bid/Strike Price	Expiration Settlement/Date
1	Stock	Symbol or Name	# Shares	$	N/A	N/A
2	Currency	US or Foreign	X	US$	N/A	N/A
3	Bonds	Issuer	X	$	N/A	N/A
4	Options	Z	N	$	+/-$	MMDDYY
5	Government Bond	Treasury Notes, Bonds or Bills	X	$	+/-$	N/A
6	Futures	Symbol or Name	Measure-ment* Quality	$	N/A	MMDDYY
7	Annuities	Issuer	X	$	N/A	N/A
8	CD's	Issuer	X	$	N/A	N/A
9	Web Barter Dollar	IOU	X	$	+/-$	MMDDYY

Z = Any security

X = Foreign or domestic currency

FIG. 9AA

Petitioner's Exhibit 1009

Barter Value	Interest Rate/ Current Yield	Due/Maturity Date	Other	Barter/Settlement Date-Open/Close
$ or specific relationship to market value	N/A	N/A	Dividend?	MMDDYY MMDDYY
US$ or specific relationship to market value	N/A	N/A	Par Discount Premium	MMDDYY MMDDYY
$ or specific relationship to market value	Y% interest rate	MMDDYY	N/A	MMDDYY MMDDYY
$ or specific relationship to market value	N/A	N/A	N/A	MMDDYY MMDDYY
$ or specific relationship to market value	Y% yield rate	MMDDYY	N/A	MMDDYY MMDDYY
$ or specific relationship to market value	N/A	N/A	N/A	MMDDYY MMDDYY
$ or specific relationship to market value	Y% interest rate	MMDDYY	Fixed or Variable Interest Rate	MMDDYY MMDDYY
$ or specific relationship to market value	Y% interest rate	MMDDYY	Compound Interest	MMDDYY MMDDYY
$ or specific relationship to market value	Y% interest rate	MMDDYY	Dividend? Par,Discount, Premium Fixed or Variable Interest Compound Interest?	MMDDYY MMDDYY

Y = Interest rate or current yield in percentage

N = Quantity of options

FIG. 9AB

FIG. 9B

FIG. 9BA | FIG. 9BB

	Class/ Type	Item/ Identification	Amount	Market Value	Bid/Strike Price	Expiration Settlement/Date
1	Stock	AOL	100 Shares	$ 10,900.00	N/A	N/A
2	Currency	Canadian $	5,000CN$	$ 3,453.04	N/A	N/A
3	Bonds	Mirage	25,000.00	$ 24,750.00	N/A	N/A
4	Options	IBM	12 Options	$ 122,400.00	$ 102.00	30-Nov-99
5	T-Bills	US Government	$ 10,000.00	$ 10,000.00	$ 101.00	N/A
6	Futures	Gold	10 troy oz	$ 3,157.50	N/A	30-Nov-99
7	Annuity	TransAmerica	$ 100,000.00	$ 100,000.00	N/A	N/A
8	CD's	SunWest Bank	$ 50,000.00	$ 50,000.00	N/A	N/A
9	Web Barter Dollar	IOU	$ 25,000.00	$ 25,000.00	A	B

A = Could have Bid Strike Price if Web Barter $ are from Options or Government Bonds + C9 depending on terms and conditions in barter transactions

B = Could have Expiration Date if Web Barter $ are from Options or Futures depending on terms and conditions in barter transactions

FIG. 9BA

Barter Value	Interest Rate/ Current Yield	Due/Maturity Date	Other	Barter/Settlement Date-Open/Close
$ 10,750.00	N/A	N/A	Dividend?	01-FEB-01/ 29-FEB-01
$ 3,448.28	N/A	N/A	N/A	02-JAN-00/ 02-JAN-00
$ 24,900.00	8.50%	1-MAR-15	Par, Discount Premium	24-DEC-03/ 28-DEC-05
$ 12,840.00	N/A	N/A	N/A	4-OCT-99/ 4-NOV-99
$ 9,800.00	4.93%	15-Jun-00	N/A	OPEN/ 15-DEC-99
$ 3,000.00	N/A	N/A	N/A	OPEN/ 31-OCT-59
$ 105,000.00	10.50%	10-Jun-06	Fixed or Variable Interest Rate	02-JAN-02/ 12-JAN-42
$ 49,000.00	4.14%	10-May-00	Compound Interest?	12-DEC-99/ 12-DEC-29
$ 24,500.00	C	D	Dividend? Par,Discount, Premium Fixed or Variable Interest Compound Interest?	OPEN/ 15-JUN-04

C = Could have Yield or Interest Rate if Web Barter $ are from Bonds, Government Bonds, Annuities or CD's depending on terms and conditions in barter transactions

D = Could have Maturity Date if Web Barter $ are from Bonds, Government Bonds, Annuities or CD's depending on terms and conditions in barter transactions

FIG. 9BB